

**EXHIBIT 4**

**Attachment A**

**516. Ownership and Control Reports**

Clearing Members shall report to the Exchange in a form and manner prescribed by the Exchange reportable positions and related information relating to Exchange Contracts that Clearing Members are required to report to the Commission pursuant to Commission regulations.

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**905. Form of Specifications Supplement <sup>\*,\*\*,\*\*\*</sup>**

Supplement No. __ Title of Single Stock Future: _____		
Underlying Security:		
Futures Symbol:		
OCX Code:		
Type of Underlying Security:	[common stock][American Depositary Receipt] [share of exchange traded fund] [trust issued receipt] [share of closed-end management investment company] [other]	
Trading Hours:		
Delivery Months:	Any calendar month up to two years.	
Physical Delivery Settlement Cycle:		
Termination Dates:		
Trading Unit:	_____ shares of the Underlying Security	
Minimum Price Fluctuation:	\$0.0100 per share, equal to \$____ per Contract for non-block and non EFP trades \$0.0001 per share, equal to \$____per Contract for block and EFP trades	
Legal Width Market:	<b><u>Common Stock Price</u></b>	<b><u>Legal Width</u></b>
	share price < \$10	\$ .25
	\$10 < share price < \$50	\$ .50
	\$50 < share price	\$1.00
Position Limit or Position Accountability:	As set forth in Schedule A to Chapter 4 as amended from time to time by the Exchange.	
Reportable Position:	200 Contracts	
Reportable Trading volume:	<u>50</u> Contracts	

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**1005. Form of Specifications Supplement**

Supplement No. __	
Title of Stock Index Future: _____	
Underlying Securities (including numbers of values thereof):	
Weighting Methodology:	
Trading Hours:	
Delivery Months:	
Termination Dates:	
Minimum Price Fluctuation:	\$0.01 per Contract
Legal Width Market:	
Position Limit:	During the last five trading days,                      Contracts
Reportable Position:	
Reportable Trading Volume:	
Daily Price Limit:	
Time Period for Reporting Block Trades:	Without delay
Last Day of Trading:	
Delivery Day:	
Depository for Underlying Securities:	
Other Specifications:	

**Attachment B**

(See Following Page)


**Notice to Members 2015-7**

Date: March 19, 2015

Re: New OCX Rule 516  
OneChicago Ownership and Control Reports

Effective Date: OCX Rule 516 – April 6, 2015  
Electronic Form 102A and 102B Submissions – December 30, 2015

OneChicago, LLC (“OneChicago” or “OCX”) is issuing this Notice to Members (“NTM”) 2015-7 to (1) inform market participants that OneChicago is codifying in its Rulebook the requirement that Clearing Members report to OneChicago account information regarding reportable positions, and (2) implement the electronic submission of Form 102A and 102B data in conjunction with the Commodity Futures Trading Commission’s (“CFTC”) Ownership and Control Reports (“OCR”) rule.<sup>1</sup>

**OCX Rule 516**

OneChicago is codifying in its Rulebook the requirement for Clearing Members to report to OneChicago account information relating to reportable positions. OneChicago has previously required the submission of such account data, but this requirement was not codified in the OCX Rulebook. OneChicago is now codifying this requirement as new OCX Rule 516. The text of new OCX Rule 516 is displayed below:

\* \* \*

**516. Ownership and Control Reports**

Clearing Members shall report to the Exchange in a form and manner prescribed by the Exchange reportable positions and related information relating to Exchange Contracts that Clearing Members are required to report to the Commission pursuant to Commission regulations.

\* \* \*

**OneChicago Ownership and Control Reports**

On November 18, 2013, the CFTC published its final OCR rules. OneChicago will begin requiring submission of Form 102 information in the same format as will be required by the CFTC. This NTM is being issued to provide market participants with OCR information and guidance.

<sup>1</sup> CFTC, Ownership and Control Reports, Forms 102/102S/40/40S and 71; Final Rule 78 FR 69178 (Nov. 18, 2013).

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OCR submissions by market participants must be made electronically in one of two ways. For firms participating in FIA Technology Services, Inc.'s ("FIA Tech") OCR solution, submissions will be sent from FIA Tech to OneChicago on behalf of those firms. For firms not participating in the FIA Tech OCR solution, OneChicago will establish a secure file transfer protocol ("SFTP") directory to which the non-participating firms must submit Form 102 information in the same format as is required by the CFTC. Each OneChicago Clearing Member must notify OneChicago whether it will participate in the FIA Tech OCR solution or whether it will submit the Form 102 information to OneChicago electronically via SFTP.

Required Reporting to OneChicago

OneChicago will require electronic filing of the following forms:

- **New Form 102A:** This form collects information with respect to position-based special accounts. A special account is any account with a reportable position. The OneChicago exchange level reportable position for Form 102A is two hundred (200) contracts in any security futures product (overlying either an individual equity security or narrow-based security index). Form 102A must be submitted to OneChicago by 9:00 a.m. CT on the business day following the date on which a special account becomes reportable. OneChicago will begin requiring the electronic submission of New Form 102A on December 30, 2015.
- **New Form 102B:** This form requires the transaction-based reporting of trading accounts that have daily trading volume that exceeds a specified level in a single trading day, regardless of whether the accounts maintain positions at the end of the day. The OneChicago exchange level reportable position for Form 102B is fifty (50) contracts in any security futures product (overlying either an individual equity security or narrow-based security index) with the same product identifier. Form 102B must be submitted to OneChicago by 9:00 a.m. CT on the business day following the date on which a volume threshold account becomes reportable. OneChicago will begin requiring the electronic submission of New Form 102B on December 30, 2015.

OneChicago is currently accepting and processing test files for OCR submission and providing feedback identifying potential errors. Market participants not participating in the FIA Tech OCR solution may begin testing their SFTP submissions immediately.

Test files should be named as follows, submitted via FTP, and placed in the SFTP directory that OneChicago assigns to your firm:

OCR\_XONE\_XXX\_YYMMDD\_HHMMSS\_TEST.xml, where **XXX** is the firm's CFTC\_ID.

**Notice to Members 2015-7**

Please note the following:

- OneChicago's reportable levels are lower than the CFTC's reportable levels and therefore a Form 102A may be required by OneChicago earlier than the CFTC would require.
- OneChicago will require Clearing Members and omnibus accounts to submit Form 102A and all related accounts as well as Form 102B accounts.
- Clearing Members that trade *solely* on a proprietary basis and that do not maintain any customer accounts are not required to submit Form 102 data to the Exchange electronically. Such Clearing Members may submit their account information on a legacy Form 102.

Any questions regarding OneChicago's new Rule 516 or its OCR requirements should be directed to Waseem Barazi, Chief Regulatory Officer at (312) 424-8524 or [wbarazi@onechicago.com](mailto:wbarazi@onechicago.com). Any questions regarding testing and submitting Forms 102A and 102B should be directed to Jeff McGill, Technology Department at (312) 424-8518 or [jmcgill@onechicago.com](mailto:jmcgill@onechicago.com).